

08/03

Small Business, Small Disadvantaged Business,  
Veteran-owned Small Business, Women-Owned Small Business  
and HUBZone small Business

MODEL SUBCONTRACTING PLAN OUTLINE\*

Identification Data

Contractor:\_\_\_\_\_

Address:\_\_\_\_\_

Solicitation or Contract Number:\_\_\_\_\_

Project Title:\_\_\_\_\_

Total Amount of Contract (Including Options) \$\_\_\_\_\_

Period of Contract Performance (MO. & YR.) \_\_\_\_\_

- \* Federal Acquisition Regulation (FAR), paragraph 19.708(b) prescribes the use of the clause FAR 52.219-9 entitled "Small Business and Small Disadvantaged Business Subcontracting Plan." The following is a suggested model for use when formulating such subcontracting plan. While this model plan has been designed to be consistent with FAR 52.219-9, other formats of a subcontracting plan may be acceptable. However, failure to include the essential information as exemplified in this model may be cause for either a delay in acceptance or the rejection of a bid or offer where the clause is applicable. Further, the use of this model is not intended to waive other requirements that may be applicable under FAR 52.219-9. "SUBCONTRACT" as used in this clause, means any agreement (other than one involving an employer-employee relationship) entered into by a Federal Government prime contractor or subcontractor calling for supplies or services required for performance of the contract or subcontract.

1. Type of Plan

Individual plan (All elements developed specifically for this contract and applicable for the full term of this contract.)

2. Goals

State separate dollar and percentage goals for small, small disadvantaged business, veteran-owned small business, women-owned small business, and HUBZone small business concerns as subcontractors as specified in FAR 19.704. (NOTE: If a plan is necessary and the offeror is submitting an individual plan, the plan shall contain separate statements (see Paragraphs 5 and 6 below) and goals for the basic contract and for each option.)

- A. Total estimated dollar value of all planned subcontracting; i.e., with all types of organizations under this contract, is \$\_\_\_\_\_.
- B. Total estimated dollar value and percentage of planned subcontracting with small business concerns: \* \$\_\_\_\_\_and\_\_\_\_\_.
- C. Total estimated dollar value and percentage of planned subcontracting with small disadvantaged business concerns: \* \$\_\_\_\_\_and\_\_\_\_\_.
- D. Total estimated dollar value and percentage of planned subcontracting with women-owned small business concerns:\* \$\_\_\_\_\_and\_\_\_\_\_.
- E. Total estimated dollar value and percentage of planned subcontracting with veteran-owned small business concerns: \* \$\_\_\_\_\_and\_\_\_\_\_.
- F. Total estimated dollar value and percentage of planned subcontracting with Historically Black Colleges and Universities: \* \$\_\_\_\_\_and\_\_\_\_\_.
- G. Total estimated dollar value and percentage of planned subcontracting with HUBZone small business concerns: \* \$\_\_\_\_\_and\_\_\_\_\_.

(\* expressed as a percentage of "A.")

3. Description of all the products and/or services to be subcontracted under this contract, and an indication of the types of organizations supplying them: (i.e., LARGE BUSINESS (LG), SMALL BUSINESS (SB), SMALL DISADVANTAGED BUSINESS (SDB, VETERN-OWNED SMALL BUSINESS (VOB), WOMEN-OWNED SMALL BUSINESS (WOB), HUBZone SMALL BUSINESS (HUBZ))(check all that apply)

Subcontracted Product/Services	LG	SB	SDB
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_____			
_____			
_____			
_____			
_____			

\_\_\_\_\_(Attach additional sheets if necessary.)

4. A description of the method used to develop the subcontracting goals for small and small disadvantaged business concerns (i.e., explain the method and state the quantitative basis (in dollars) used to establish the percentage goals, in addition, how the areas to be subcontracted to small and small disadvantaged business concerns were determined, and how the capabilities of small and small disadvantaged businesses were determined--include any source lists used in the determination process).

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5. Indirect costs have been \_\_\_\_\_ have not been \_\_\_\_\_ included in the dollar and percentage subcontracting goals stated above. (Check one)

6. If indirect costs have been included, explain the method used to determine the proportionate share of such costs to be allocated as subcontracts to small, small disadvantaged business, veteran-owned small business, women-owned small business, and HUBZone small business concerns.

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7. Program Administrator

Name, title, position within the corporate structure, and duties and responsibilities of the employee who will administer the contractor's subcontracting program.

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_

Duties: Has general overall responsibility for the contractor's subcontracting program; i.e., developing, preparing, and executing individual subcontracting plans and monitoring performance relative to the requirements of this particular plan. For example, duties may include, but are not limited to, the following activities:

- A. Developing and promoting company-wide policy initiatives that demonstrate the company's support for awarding contracts and subcontracts to small, small disadvantaged business, veteran-owned small business, women-owned small business, and HUBZone small

business concerns; and assure that above mentioned business are included on the source lists for solicitations for products and services they are capable of providing;

- B. Developing and maintaining bidder's lists of small businesses, small disadvantaged businesses, veteran-owned small businesses, women-owned small businesses, and HUBZone small businesses from all possible sources;
- C. Ensuring periodic rotation of potential subcontractors on bidder's lists;
- D. Ensuring that procurement "packages" are designed to permit the maximum possible participation of small businesses, small disadvantaged businesses, veteran-owned small businesses, women-owned small businesses, and HUBZone small businesses;
- E. Make arrangements for the utilization of various sources for the identification of small businesses, small disadvantaged businesses, veteran-owned small businesses, women-owned small businesses, and HUBZone small businesses, such as the SBA's Procurement Marketing and Access Network(PRO-Net), the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce, and the facilities of local small business and minority associations, and contact with Federal agency's Small and Disadvantaged Business Utilization Specialist (SADBUS).
- F. Overseeing the establishment and maintenance of contract and subcontract award records;
- G. Attending or arranging for the attendance of company counselors at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc;
- H. Ensure small business, small disadvantaged business, veteran-owned small business, women-owned small business, and HUBZone small business concerns are made aware of subcontracting opportunities and how to prepare responsive bids to the company;
- I. Conducting or arranging for the conduct of training for purchasing personnel regarding the intent and impact of Public Law 95-507 on purchasing procedures;
- J. Monitoring the company's performance and making any adjustments necessary to achieve the subcontract plan goals;
- K. Preparing, and submitting timely, required subcontract reports;
- L. Coordinating the company's activities during the conduct of compliance reviews by Federal agencies; and
- M. Other duties\_\_\_\_\_

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8.    Equitable Opportunity

Describe efforts the offeror will make to ensure that small business, small disadvantaged business, veteran-owned small business, women-owned small business, and HUBZone small business concerns will have an equitable opportunity to compete for subcontracts. These efforts may include, but are not limited to, the following activities:

A.    Outreach efforts to obtain sources:

1.        Contacting trade associations;
2.        Contacting business development organizations;
3.        Attending conferences and trade fairs to locate small business, small disadvantaged business, veteran-owned small business, women-owned small business, and HUBZone small business sources;
4.        Requesting sources from the Small Business Administration's Procurement Marketing and Access Network (PRO-Net);
5.        Newspaper, magazine ads which encourage new sources; and
6.        Veteran service Organizations.

B.    Internal efforts to guide and encourage purchasing personnel:

1.        Presenting workshops, seminars, and training programs;
2.        Establishing, maintaining, and using small socio-economic source lists, guides, and other data for soliciting subcontracts; and
3.        Monitoring activities to evaluate compliance with the subcontracting plan.

C.    Additional efforts:\_\_\_\_\_

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9. Flow-Down Clause

The contractor agrees to include the provisions under FAR 52.219-8, "Utilization of Small Business Concerns", in all subcontracts that offer further subcontracting opportunities. All subcontractors, except small business concerns, that receive subcontracts in excess of \$500,000 (\$1,000,000 for construction) must adopt a plan that complies with the requirements of the clause at FAR 52.219-9, "Small Business Subcontracting Plan." (FAR 19.704(a)(9)).

10. Reporting and Cooperation

The contractor gives assurance of (1) cooperation in any studies or surveys that may be required; (2) submission of periodic reports which show compliance with the subcontracting plan; (3) submission of Standard Form (SF) 294, "Subcontracting Report for Individual Contracts", and SF-295, "Summary Subcontract Report", in accordance with the instructions on the forms; and (4) ensuring that subcontractors agree to submit Standard Forms 294 and 295.

Reporting Period	Report Due	Due Date
Oct 1 - Mar 31	SF-294	04/30
Apr 1 - Sep 30	SF-294	10/30
Oct 1 - Sep 30	SF-295	10/30

ADDRESSEES

- (a) SF-294 to be submitted to cognizant Contracting Officer
- (b) SF-295 to be submitted to:  
  
United States Environmental Protection Agency  
RTP Procurement Operations Division, E105-02  
Attn: Jerry M. Dodson, Small Business Specialist  
Research Triangle Park, NC 27711

11. Recordkeeping

The following is a recitation of the types of records the contractor will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan. These records will include, but not be limited to, the following;

- A. Small business, small disadvantaged business, veteran-owned small business, women-owned small business, and HUBZone small business source lists, guides, and other data identifying such vendors;
- B. Organizations contacted in an attempt to locate small business, small disadvantaged business, veteran-owned small business, women-owned small business, and HUBZone small business sources;
- C. On a contract-by-contract basis, records on all subcontract

solicitations over \$100,000 which indicate for each solicitation (1) whether small business concerns were solicited, and if not, why not; (2) whether small disadvantaged business concerns were solicited, and if not, why not; (3) whether veteran-owned small business concerns were solicited, and if not, why not; (4) whether women-owned small business concerns were solicited, and if not, why not; (5) whether HUBZone small business concerns were solicited, and if not, why not; and (6) reason for the failure of solicited small, small disadvantaged business, veteran-owned small business, women-owned small business, and HUBZone small business concerns to receive the subcontract award;

- D. Records to support other outreach efforts, e.g., contacts with minority and small business trade associations, attendance procurement conferences and trade fairs;
- E. Records to support internal guidance and encouragement provided to buyers through (1) workshops, seminars, training programs, incentive awards; and (2) monitoring of activities to evaluate compliance; and
- F. On a contract-by-contract basis, records to support subcontract award data including the name, address and business size of each subcontractor. (This item is not required for company or division-wide commercial products plans.)

G. Additional records: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

12. The offeror should complete the following table indicating small disadvantaged business (SDB) participation targets proposed which will be incorporated into and made part of any resulting contract (See EPAAR 1552.219-73 of this document):

Contractor Targets	SIC/NAICS Major Group	Dollars	Percentage of Total Contract Value
Total Prime Contractor Targets (Including joint venture members and team members)		SB \$ SDB \$ WOB \$ HubZone \$	SB % SDB % WOB % HubZone %
Total Subcontractor Targets		*	*

\* Includes Large Business subcontracts.

The offeror shall identify below any SDB(s) which are included as part of this proposal and which will be considered under the Section M SDB participation evaluation factor:

- (1) \_\_\_\_\_
- (2) \_\_\_\_\_
- (3) \_\_\_\_\_
- (4) \_\_\_\_\_
- (5) \_\_\_\_\_

This subcontracting plan was submitted by:

Signature: \_\_\_\_\_

Typed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date Prepared: \_\_\_\_\_

Phone No.: \_\_\_\_\_